

7-31-06

A

PENNIE &amp; EDMONDS LLP DOC NO. 9803-0099-999

Express Mail No.: EL 451 594 692 US

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Prior application: Examiner P. StecherArt Unit 2755

Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, D.C. 20231

JC836 U.S. PTO  
09/027413  
07/27/00

Sir:

This is a request for filing a ☒ **continuation** ☐ divisional application under 37 CFR § 1.53(b), of pending prior application no. 08/599,055 filed on February 9, 1996.

of Theron D. Tock and Roderic G.G. Cattell  
(inventor(s) currently of record in prior application)

for SYSTEM AND METHOD FOR AUTOMATICALLY MODIFYING DATABASE ACCESS METHODS  
TO INSERT DATABASE OBJECT HANDLING INSTRUCTIONS

1. ☒ The filing fee is calculated below:

## PATENT APPLICATION FEE VALUE

| TYPE  | NO. FILED | LESS | EXTRA | EXTRA RATE   | FEE         |
|---|-----------|------|-------|--------------|-------------|
| Total Claims  | 30        | -20  | 10    | \$18.00 each | \$ 180.00   |
| Independent   | 9         | -3   | 6     | \$78.00 each | \$ 468.00   |
| Basic Fee   |           |      |       |              | \$ 690.00   |
| Multiple Dependency Fee<br>If Applicable (\$260.00)   |           |      |       |              | \$ 0.00     |
| Total   |           |      |       |              | \$ 1,338.00 |
| 50% Reduction for Independent Inventor, Nonprofit Organization or Small<br>Business Concern |           |      |       |              | \$ 0.00     |
| Total Filing Fee  |           |      |       |              | \$ 1,338.00 |

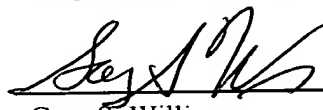
2. ☒ Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150 (9803-0099-999). A copy of this sheet is enclosed.
3. ☐ Amend the specification by inserting before the first line the following sentence: This is a continuation, division, of application no. , filed .
- 4a. ☐ Transfer the drawings from the prior application to this application and abandon the prior application as of the filing date accorded this application. A duplicate copy of this sheet is enclosed for filing in the prior application file.

- 4b. ☐ New formal drawings are enclosed.
- 4c. ☐ Informal drawings are enclosed.
- 5a. ☐ Priority of application no. filed on in is claimed under 35 U.S.C. §119.
- 5b. ☐ The certified copy has been filed in prior application no. , filed .
6. ☒ The prior application is assigned of record to **Sun Microsystems, Inc.**
- 7a. ☒ The Power of Attorney appears in the original papers in the prior application no.08/599,055, filed February 9, 1996.
- 7b. ☐ Since the Power of Attorney does not appear in the original papers, a copy of the Power in prior application no. , filed is enclosed.
8. ☐ This application contains nucleic acid and/or amino acid sequences required to be disclosed in a Sequence Listing under 37 CFR §§1.821-1.825. It is requested that the Sequence Listing in computer readable form from prior application no., filed on be made a part of the present application as provided for by 37 C.F.R. §1.821(e). The sequences disclosed therein are the same as the sequences disclosed in this application. A copy of the paper Sequence Listing from application no. is enclosed.
9. ☐ The undersigned states, under 37 C.F.R. §1.821(f), that the content of the enclosed paper Sequence Listing from application no. is the same as the content of the computer readable form submitted in application no. .
10. ☒ Additional enclosures or instructions.  
☒ Copy of the parent application as filed on February 9, 1996;  
☒ a Preliminary Amendment; and  
☒ PTO-1449 (without reference copies from parent application).

Respectfully submitted,

Date

7/27/00



Gary S. Williams (Reg. No. 31,066)  
 PENNIE & EDMONDS LLP  
 3000 Hillview Avenue  
 Palo Alto, CA 94304  
 (650) 493-4935 OR  
 (212) 790-9090

002220"ET42960

THE UNITED STATES PATENT AND TRADEMARK OFFICE

"EXPRESS MAIL" MAILING LABEL  
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Date: February 9, 1996

DATE OF DEPOSIT February 9, 1996

File No. A-62822/GSW P1230

I HEREBY CERTIFY THAT THIS PAPER OR FEE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE "EXPRESS MAIL POST OFFICE TO ADDRESSEE" SERVICE UNDER 37 CFR 1.10 ON THE DATE INDICATED ABOVE AND IS ADDRESSED TO: THE ASSISTANT COMMISSIONER FOR PATENTS, WASHINGTON, DC 20231.

Assistant Commissioner for Patents  
Washington, DC 20231

TYPED NAME Linda D. Stewart

SIGNED

Sir:

Transmitted herewith for filing is the patent application of Inventor(s):  
Theron D. TOCK and Roderic G.G. CATTELL

For: SYSTEM AND METHOD FOR AUTOMATICALLY MODIFYING DATABASE ACCESS METHODS  
TO INSERT DATABASE OBJECT HANDLING INSTRUCTIONS

Enclosed are also:

       Prior Art Statement  
  x     7   Sheets of drawing, Formal   xx  , Informal         
       An Assignment of the invention to:

       Cost of recording to be charged to Deposit Account No. 06-1300  
(Order No. A- / )  
       Power of Attorney by Assignee & Exclusion of Inventor Under 37 CFR 1.32  
       Combined Declaration and Power of Attorney for Patent Application  
  x   Declaration for Patent Application (unsigned)  
       Associate Power of Attorney  
       Small Entity Status Declaration Under 37 CFR       

| FOR:   | (Col. 1)<br>NO. FILED | (Col. 2)<br>NO. EXTRA | SMALL ENTITY<br>RATE | FEE              | OR | OTHER THAN A<br>SMALL ENTITY<br>RATE | FEE               |
|--|-----------------------|-----------------------|----------------------|------------------|----|--------------------------------------|-------------------|
| BASIC FEE  |                       |                       |                      | \$375            | OR |                                      | \$750             |
| TOTAL CLAIMS   | <u>  21  </u> -20 = * | <u>  1  </u>          | x11 =                | \$ <u>      </u> | OR | x22 =                                | \$ <u>  22  </u>  |
| INDEP CLAIMS   | <u>  2  </u> -3 = *   | <u>  0  </u>          | x39 =                | \$ <u>      </u> | OR | x78 =                                | \$ <u>  0  </u>   |
| [ ] MULTIPLE DEPENDENT CLAIM PRESENTED                               |                       |                       | +125 =               | \$ <u>      </u> | OR | +250 =                               | \$ <u>  0  </u>   |
| *If the difference in Col. 1 is less than zero, enter "0" in Col. 2. |                       |                       | TOTAL                | \$ <u>      </u> | OR | TOTAL                                | \$ <u>  772  </u> |

  x   Our Check No.   78479   in the amount of \$   772.00   to cover the filing fee is enclosed.

  x   The Commissioner is hereby authorized to charge any additional fees which may be required, including extension fees, or credit any overpayment to Deposit Account No. 06-1300 (Order No. A-62822/GSW). A copy of this sheet is enclosed for such purpose.

Respectfully submitted,

Gary S. Williams  
Gary S. Williams  
Registration No. 31,066  
FLEHR, HOHBACH, TEST,  
ALBRITTON & HERBERT  
Suite 3400, Four Embarcadero Center  
San Francisco, California 94111-4187  
Telephone: (415) 494-8700

002220"ET42960



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

| APPLICATION NUMBER | FILING DATE | FIRST NAMED APPLICANT | ATTY. DOCKET NO./TITLE |
|--------------------|-------------|-----------------------|------------------------|
|--------------------|-------------|-----------------------|------------------------|

08/599,055 02/09/96 TOOK

T A-627413

0242/0409

FLEHR HOHBACH TEST, ALBRITTON & HERBERT  
FOUR EMBARCADERO CENTER  
SUITE 3400  
SAN FRANCISCO CA 94111-4187

0000

DATE MAILED:

04/09/96

### NOTICE TO FILE MISSING PARTS OF APPLICATION FILING DATE GRANTED

An Application Number and Filing Date have been assigned to this application. However, the items indicated below are missing. The required items and fees identified below must be timely submitted **ALONG WITH THE PAYMENT OF A SURCHARGE** for items 1 and 3-6 only of \$ 150 for large entities or \$ 65 for small entities who have filed a verified statement claiming such status. The surcharge is set forth in 37 CFR 1.16(e).

If all required items on this form are filed within the period set below, the total amount owed by applicant as a ☐ large entity, ☐ small entity (verified statement filed), is \$ \_\_\_\_\_.

Applicant is given **ONE MONTH FROM THE DATE OF THIS LETTER, OR TWO MONTHS FROM THE FILING DATE** of this application, **WHICHEVER IS LATER**, within which to file all required items and pay any fees required above to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

1. ☐ The statutory basic filing fee is: ☐ missing ☐ insufficient. Applicant as a ☐ large entity ☐ small entity, must submit \$ \_\_\_\_\_ to complete the basic filing fee.
2. ☐ Additional claim fees of \$ \_\_\_\_\_ as a ☐ large entity, ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.
3. ☐ The oath or declaration:  
☐ is missing.  
☐ does not cover the newly submitted items.  
  
An oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date is required.
4. ☐ The oath or declaration does not identify the application to which it applies. An oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
5. ☒ The signature(s) to the oath or declaration is/are: ☒ missing; ☐ by a person other than the inventor or a person qualified under 37 CFR 1.42, 1.43, or 1.47. A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
6. ☐ The signature of the following joint inventor(s) is missing from the oath or declaration:  
\_\_\_\_\_. An oath or declaration listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.
7. ☐ The application was filed in a language other than English. Applicant must file a verified English translation of the application and a fee of \$ \_\_\_\_\_ under 37 CFR 1.17(k), unless this fee has already been paid.
8. ☐ A \$ \_\_\_\_\_ processing fee is required since your check was returned without payment. (37 CFR 1.21(m)).
9. ☐ Your filing receipt was mailed in error because your check was returned without payment.
10. ☐ The application does not comply with the Sequence Rules. See attached Notice to Comply with Sequence Rules 37 CFR 1.821-1.825.
11. ☐ Other.

Direct the response to Box Missing Part and refer any questions to the Customer Service Center at (703) 308-1202.

**A copy of this notice MUST be returned with the response.**

FORM PTO-1523 (REV. 11-94)

COPY TO BE RETURNED WITH RESPONSE

09/627413  
07/27/00  
JC836 U.S. PTO

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                            |   |                    |
|----------------------------|---|--------------------|
| In re application of:      | ) | APPLICATION BRANCH |
| TOCK et al.                | ) |                    |
| Serial No. 08/599,055      | ) |                    |
| Filed: February 9, 1996    | ) | San Francisco, CA  |
| For: SYSTEM AND METHOD FOR | ) | May 2, 1996        |
| AUTOMATICALLY MODIFYING    | ) |                    |
| DATABASE ACCESS METHODS TO | ) |                    |
| INSERT DATABASE OBJECT     | ) |                    |
| HANDLING INSTRUCTIONS      | ) |                    |

C O M M U N I C A T I O N

Commissioner of Patents and Trademarks  
Box Missing Parts  
Washington, D.C. 20231

Sir:

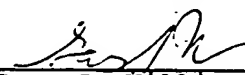
In reply to the Notice to File Missing Parts of Application dated April 9, 1996, copy enclosed, we enclose two separate executed Declarations and two Assignments, with separate PTO 1595 forms, for the above application. We are also enclosing a Power of Attorney by Assignee.

Our check, number 80193 for \$210.00 is enclosed and covers the Missing Parts Surcharge and the Assignment Recordal Fees.

The Commissioner is hereby authorized to charge any other fees determined to be due to Deposit Account 06-1300 (Order No. A-62822/GSW). A duplicate copy of this sheet is enclosed for such purpose.

Respectfully submitted,

FLEHR, HOHBACH, TEST,  
ALBRITTON & HERBERT

By   
Gary S. Williams Reg.No. 31,066  
Telephone: (415) 494-8700

Suite 3400, 4 Embarcadero Center  
San Francisco, CA 94111-4187

I hereby certify that the above-identified document is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C. 20231, on May 2, 1996.

Signature: 

Leslie J. Jennings

A-62822/GSW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Date: February 9, 1996

File No. A-62822/GSW P1230

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Transmitted herewith for filing is the patent application of Inventor(s):  
Theron D. TOCK and Roderic G.G. CATTELL

For: SYSTEM AND METHOD FOR AUTOMATICALLY MODIFYING DATABASE ACCESS METHODS  
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Cost of recording to be charged to Deposit Account No. 06-1300  
(Order No. A- / )

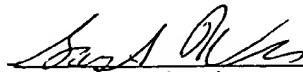
       Power of Attorney by Assignee & Exclusion of Inventor Under 37 CFR 1.32  
       Combined Declaration and Power of Attorney for Patent Application  
  x   Declaration for Patent Application (unsigned)  
       Associate Power of Attorney  
       Small Entity Status Declaration Under 37 CFR       

| FOR:   | (Col. 1)                    | (Col. 2)   | SMALL ENTITY |                  | OR | OTHER THAN A<br>SMALL ENTITY |                |
|--|-----------------------------|------------|--------------|------------------|----|------------------------------|----------------|
|  | NO. FILED                   | NO. EXTRA  | RATE         | FEE              |    | RATE                         | FEE            |
| BASIC FEE  |                             |            |              | \$375            | OR |                              | \$750          |
| TOTAL CLAIMS   | <u> 21 </u> - <u>20</u> = * | <u> 1 </u> | x11 =        | \$ <u>      </u> | OR | x22 =                        | \$ <u> 22 </u> |
| INDEP CLAIMS   | <u> 2 </u> - <u>3</u> = *   | <u> 0 </u> | x39 =        | \$ <u>      </u> | OR | x78 =                        | \$ <u> 0 </u>  |
| [ ] MULTIPLE DEPENDENT CLAIM PRESENTED                               |                             |            | +125 =       | \$ <u>      </u> | OR | +250 =                       | \$ <u> 0 </u>  |
| *If the difference in Col. 1 is less than zero, enter "0" in Col. 2. |                             |            | TOTAL        | \$ <u>      </u> | OR | TOTAL                        | \$ <u>772 </u> |

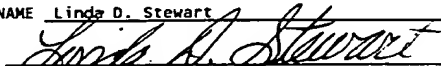
  x   Our Check No. 78479 in the amount of \$ 772.00 to cover the filing fee is enclosed.

  x   The Commissioner is hereby authorized to charge any additional fees which may be required, including extension fees, or credit any overpayment to Deposit Account No. 06-1300 (Order No. A-62822/GSW). A copy of this sheet is enclosed for such purpose.

Respectfully submitted,

  
\_\_\_\_\_  
Gary S. Williams  
Registration No. 31,066  
FLEHR, HOHBACH, TEST,  
ALBRITTON & HERBERT  
Suite 3400, Four Embarcadero Center  
San Francisco, California 94111-4187  
Telephone: (415) 494-8700

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TYPED NAME Linda D. Stewart  
SIGNED 



xxx

5010.00 2/9/96 A-62822/GSW SUN MICROSYSTEMS Filing Fee \$375.00  
1 extra claim 11.00

JC836 U.S. PTO

09/627413


**FLEHR, HOHBACH, TEST, ALBRITTON  
AND HERBERT**

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SAN FRANCISCO, CA 94111  
(415) 781-1989

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SAN FRANCISCO MAIN BRANCH  
SAN FRANCISCO, CA 94104  
16-21-1220

78478

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ORDER  
OF

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

DATE

AMOUNT

February 9, 1996 \$386.00\*\*\*\*

FLEHR, HOHBACH, TEST, ALBRITTON AND HERBERT

AUTHORIZED SIGNATURE

⑈078478⑈ ⑆122000218⑆621728224⑈

11

SECURITY FEATURES INCLUDED. DETAILS ON BACK.

**PATENT OFFICE ACKNOWLEDGEMENT  
OF FILING PATENT APPLICATION**

File No. A-62822/GSW  
Applicant(s): TOCK and CATTELL  
Title: SYSTEM AND METHOD FOR AUTOMATICALLY MODIFYING  
DATABASE ACCESS METHODS TO INSERT DATABASE OBJECT  
HANDLING INSTRUCTIONS  
No. Pages Spec.: 38  
No. Claims: 21  
No. Sheets Dwgs.: 7  
Oath Declaration x (unsigned)  
Amount Filing Fee \$ 386.00  
Check No. 78478  
Assignment: \_\_\_\_\_

*Filed by Bobbie J.*

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TO ADDRESSEE



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FLANN HUBBACH TEST ET AL  
550 HANSEL WAY # 200  
PALM ALTO CA 94304-1017  
A-62822/GSW a/c 3959

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FOR PICKUP OR TRACKING CALL 1-800-222-5811

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09/627413



07/27/00